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July 20, 2004	Yuko Tanaka		July 20, 2004
Date Mailed	Name	Signature	Date

Attorney's Docket No. 42P13843D

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Patent Application of: )  
MORSE ) Examiner: Not Yet Assigned  
Application No. 10/808,787 ) Art Unit: Not Yet Assigned  
Filed: March 23, 2004 )  
For: EPITAXIAL GROWTH FOR )  
WAVEGUIDE TAPERING )

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed copy of Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

X

37 C.F.R. §1.97(b).

37 C.F.R. §1.97(c). If so, then enclosed with this Information Disclosure Statement is one of the following:

A statement pursuant to 37 C.F.R. §1.97(e) or

A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

37 C.F.R. §1.97(d). If so, then enclosed with this Information Disclosure Statement are the following:

(1) A statement pursuant to 37 C.F.R. §1.97(e); and

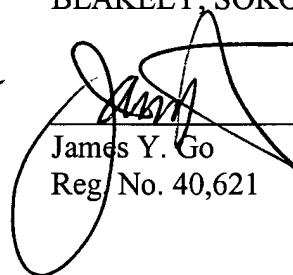
(2) A check for \$180.00 for the fee under 37 C.F.R. §1.17(p) for submission of the Information Disclosure Statement.

If there are any additional charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: 7-20-04

  
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Substitute for Form 1449/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet	1	of	2	Attorney Docket Number	42P13843D
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## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
O P E	1.	us- 4,371,966	02-01-1983	Scifres et al.	
	2.	us- 4,911,516	03-27-1990	Palfrey et al.	
	3.	us- 5,078,516	01-07-1992	Kapon et al.	
JUL 22 2004	4.	us- 5,121,182	06-09-1992	Kuroda et al.	
	5.	us- 5,574,742	11-12-1996	Ben-Michael et al.	
	6.	us- 5,720,893	02-24-1998	Ben-Michael et al.	
	7.	us- 5,987,046	11-16-1999	Kobayashi et al.	
	8.	us- 5,990,530	11-23-1999	Suzuki	
	9.	us- 6,200,502 B1	03-13-2001	Paatzsch et al.	
	10.	us- 6,380,092 B1	04-30-2002	Annapragada et al.	
	11.	us- 6,381,380 B1	04-30-2002	Forrest et al.	
	12.	us- 6,411,764 B1	06-25-2002	Lee	
	13.	us- 6,483,863 B2	11-19-2002	Forrest et al.	

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
	14.	PCT/US 03/12364	08/08/2003	International Search Report		
	15.	PCT/US 03/11833	10/02/2003	International Search Report		
	16.	JP 52137359	11/16/1977	SUMITOMO ELECTRIC IND. LTD		
	17.	JP 53106152	09/14/1978	NEC CORPORATION		
	18.	JP 05011131	01/19/1993	SHIMADZU CORPORATION		
	19.	JP 09297235	11-18-1997	HITACHI CABLE LTD		
	20.	JP 11284061	10-15-1999	KAWASAKI STEEL CORP.		
	21.	EP 0 821 250 A1	01/28/1998	SCHNEIDER ELECTRIC SA		
	22.	WO 95/13553	05/18/1995	SCHNEIDER ELECTRIC SA		
	23.	WO 00/36442	06-22-2000	BRAIMAN		

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Complete if Known

10/808,787

March 23, 200

MORSE

Not Yet Assigned

Not Yet Assigned

Sheet 2 of 2 Attorney Docket Number 42P13843D

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
	24.	LAYADI, A., et al., "Low-Loss Optical Waveguide On Standard SOI/SIMOX Substrate," Elsevier Science B.V., Optics Communications, Vol. 146, No. 1-6, January 15, 1998, pp. 31-33, North-Holland Publishing Co., Amsterdam, NL.	
	25.	WEISS, B.L., et al., "Optical Waveguides in SIMOX Structures," IEEE Photonics Technology Letters, Vol. 3, No. 1, January 1991, pp. 19-21, NY, US.	
	26.	RICKMAN, A., et al., "Low-Loss Planar Optical Waveguides Fabricated in SIMOX Material," IEEE Photonics Technology Letters, Vol. 4, No.6, June 1, 1992, pp. 633-635, NY, US.	
	27.	VON BIBRA, M.L., et al., "Ion Beam Energy Attenuation For Fabrication Of Buried Variable-Depth, Optical Waveguides," Elsevier Science B.V., Nuclear Instruments & Methods In Physics Research, Section B: Beam Interactions with Materials and Atoms, Vol. 168, No. 1, May 2000, pp. 47-52, North-Holland Publishing Co., Amsterdam, NL.	
	28.	BRENNER, T., et al., "Vertically Tapered InGaAsP/InP Waveguides for Highly Efficient Coupling to Flat-End Single-Mode Fibers," American Institute of Physics, Vol. 65, August 15, 1994, pp. 798-800, Woodbury, NY, US.	

Examiner Signature	Date Considered	
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